



PTO/SB/17 (11-00)  
Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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<b>FEE TRANSMITTAL</b> <b>for FY 2001</b>  <i>Patent fees are subject to annual revision.</i>	<b>Complete if Known</b>		
	Application Number	(Unassigned)	
	Filing Date	November 29, 2000	
	First Named Inventor	Joseph D. Kunzeman ET AL.	
	Examiner Name		
	Group Art Unit		
TOTAL AMOUNT OF PAYMENT (\$)	840	Attorney Docket No.	00-693

<b>METHOD OF PAYMENT</b>  1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to: Deposit Account Number <u>03-1129</u> Deposit Account Name _____ <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27  2. <input type="checkbox"/> Payment Enclosed: <input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other	<b>FEE CALCULATION (continued)</b>  <b>3. ADDITIONAL FEES</b> <table border="1"><thead><tr><th>Large Entity Fee Code (\$)</th><th>Small Entity Fee Code (\$)</th><th>Fee Description</th><th>Fee Paid</th></tr></thead><tbody><tr><td>105 130</td><td>205 65</td><td>Surcharge - late filing fee or oath</td><td></td></tr><tr><td>127 50</td><td>227 25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr><tr><td>139 130</td><td>139 130</td><td>Non-English specification</td><td></td></tr><tr><td>147 2,520</td><td>147 2,520</td><td>For filing a request for <i>ex parte</i> reexamination</td><td></td></tr><tr><td>112 920*</td><td>112 920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr><tr><td>113 1,840*</td><td>113 1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr><tr><td>115 110</td><td>215 55</td><td>Extension for reply within first month</td><td></td></tr><tr><td>116 390</td><td>216 195</td><td>Extension for reply within second month</td><td></td></tr><tr><td>117 890</td><td>217 445</td><td>Extension for reply within third month</td><td></td></tr><tr><td>118 1,390</td><td>218 695</td><td>Extension for reply within fourth month</td><td></td></tr><tr><td>128 1,890</td><td>228 945</td><td>Extension for reply within fifth month</td><td></td></tr><tr><td>119 310</td><td>219 155</td><td>Notice of Appeal</td><td></td></tr><tr><td>120 310</td><td>220 155</td><td>Filing a brief in support of an appeal</td><td></td></tr><tr><td>121 270</td><td>221 135</td><td>Request for oral hearing</td><td></td></tr><tr><td>138 1,510</td><td>138 1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr><tr><td>140 110</td><td>240 55</td><td>Petition to revive - unavoidable</td><td></td></tr><tr><td>141 1,240</td><td>241 620</td><td>Petition to revive - unintentional</td><td></td></tr><tr><td>142 1,240</td><td>242 620</td><td>Utility issue fee (or reissue)</td><td></td></tr><tr><td>143 440</td><td>243 220</td><td>Design issue fee</td><td></td></tr><tr><td>144 600</td><td>244 300</td><td>Plant issue fee</td><td></td></tr><tr><td>122 130</td><td>122 130</td><td>Petitions to the Commissioner</td><td>130</td></tr><tr><td>123 50</td><td>123 50</td><td>Processing fee under 37 CFR 1.17(q)</td><td></td></tr><tr><td>126 180</td><td>126 180</td><td>Submission of Information Disclosure Stmt</td><td></td></tr><tr><td>581 40</td><td>581 40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr><tr><td>146 710</td><td>246 355</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr><tr><td>149 710</td><td>249 355</td><td>For each additional invention to be examined (37 CFR § 1.129(b))</td><td></td></tr><tr><td>179 710</td><td>279 355</td><td>Request for Continued Examination (RCE)</td><td></td></tr><tr><td>169 900</td><td>169 900</td><td>Request for expedited examination of a design application</td><td></td></tr><tr><td colspan="3">Other fee (specify) _____</td><td></td></tr><tr><td colspan="3"><b>SUBTOTAL (3) (\$)</b></td><td>130</td></tr></tbody></table>	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	105 130	205 65	Surcharge - late filing fee or oath		127 50	227 25	Surcharge - late provisional filing fee or cover sheet		139 130	139 130	Non-English specification		147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination		112 920*	112 920*	Requesting publication of SIR prior to Examiner action		113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action		115 110	215 55	Extension for reply within first month		116 390	216 195	Extension for reply within second month		117 890	217 445	Extension for reply within third month		118 1,390	218 695	Extension for reply within fourth month		128 1,890	228 945	Extension for reply within fifth month		119 310	219 155	Notice of Appeal		120 310	220 155	Filing a brief in support of an appeal		121 270	221 135	Request for oral hearing		138 1,510	138 1,510	Petition to institute a public use proceeding		140 110	240 55	Petition to revive - unavoidable		141 1,240	241 620	Petition to revive - unintentional		142 1,240	242 620	Utility issue fee (or reissue)		143 440	243 220	Design issue fee		144 600	244 300	Plant issue fee		122 130	122 130	Petitions to the Commissioner	130	123 50	123 50	Processing fee under 37 CFR 1.17(q)		126 180	126 180	Submission of Information Disclosure Stmt		581 40	581 40	Recording each patent assignment per property (times number of properties)		146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))		149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))		179 710	279 355	Request for Continued Examination (RCE)		169 900	169 900	Request for expedited examination of a design application		Other fee (specify) _____				<b>SUBTOTAL (3) (\$)</b>			130
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<b>SUBMITTED BY</b>		<b>Complete (if applicable)</b>	
Name (Print/Type)	Thomas L. Derry	Registration No. (Attorney/Agent)	46,660
Signature	<i>Thomas L. Derry</i>	Telephone	(309) 675-1029
		Date	03/06/2001

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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Receipt

Please type a plus sign (+) inside this box

+

PTO/SB/21 (08-00)  
Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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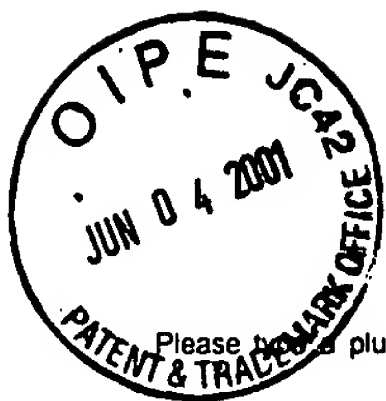
<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/800,284	
	Filing Date	11/29/2000	
	First Named Inventor	Joseph D. Kunzeman ET AL.	
	Group Art Unit	3612	
	Examiner Name		
Total Number of Pages in This Submission		Attorney Docket Number	00-693

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  REQUEST FOR CORRECTION OF FILING DATE (A conversion under 37 CFR 153 (c) (3) was improperly recorded as a New Application Claiming Benefit of the Provisional Application)
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Thomas L. Derry, Registration No. 46,660
Signature	<i>Thomas L. Derry</i>
Date	May 25, 2001

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope address to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 05/25/2001			
Typed or printed name	Thomas L. Derry		
Signature	<i>Thomas L. Derry</i>	Date	5-25-2001

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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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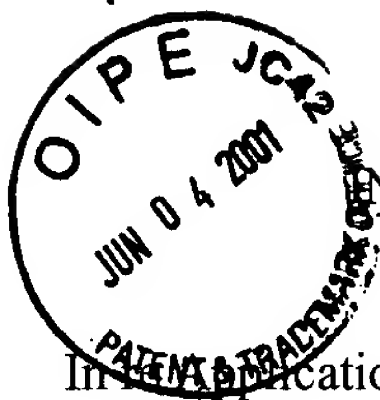
<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	(Unassigned)
	Filing Date	November 29, 2000
	First Named Inventor	JOSEPH D. KUNZEMAN ET AL.
	Group Art Unit	
	Examiner Name	
Total Number of Pages in This Submission		Attorney Docket Number 00-693

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input checked="" type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input checked="" type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Declaration
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	Request/Petition Under CFR 1.53(c)
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	This is a request to convert provisional application Serial No. 60/253,964, filed November 29, 2000, to a non-provisional application.
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Thomas L. Derry, Registration No. 46,660
Signature	<i>Thomas L. Derry</i>
Date	March 6, 2001

U.S. POSTAL EXPRESS-MAILING LABEL NO. EL661474315US	
This correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service addressed to the Assistant Commissioner for Patents, Washington, DC 20231 on this date: 03/06/2001	

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PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s) of

JOSEPH D. KUNZEMAN ET AL.

) Art Unit: 3612

Application No. 09/800,284

Filed: November 29, 2000

For: APPARATUS AND METHOD FOR  
REDUCING WORK MACHINE NOISE  
BASED ON LOCATION

Attorney Docket No. 00-693

Peoria, Illinois 61629-6490

May 25, 2001

Assistant Commissioner for Patents  
Washington, D.C. 20231

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REQUEST FOR CORRECTION OF FILING DATE

(A **conversion under 37 CFR 153 (c) (3)** was improperly recorded as a New Application  
Claiming Benefit of the Provisional Application)

Sir:

In response to the Filing Receipt dated April 19, 2001, please provide a filing  
receipt for the above identified application having, corrections as follows:

1. The original filing date (November 29, 2000) of the Provisional Application  
No. 60253,964 should be maintained for this file. (The Provisional Patent Application was  
converted, as opposed to claiming benefit.)

**2. Domestic Priority data as claimed by applicant**

THIS APPLN IS A CONVERSION OF 60/253,964 11/29/2000

REMARKS

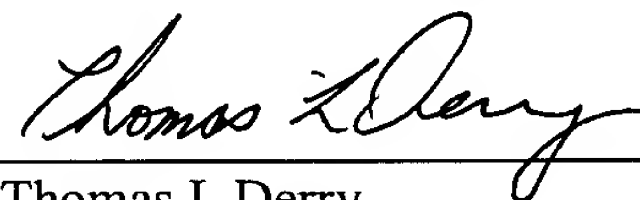
The following is a quotation of 37 CFR 1.53 (c) (3): "A provisional  
application filed under paragraph (c) of this section may be converted to a non-provisional

application filed under paragraph (b) of this section and accorded the original filing date of the original application. The conversion of a provisional application to a non-provisional application will not result in either the refund of any application fee properly paid in the provisional application or the application of any such fee to the filing fee, or any other fee for the non-provisional application. A request to convert a provisional application to a non-provisional application must be accompanied by the fee set forth in § 1.17(i) and an amendment including at least one claim as prescribed by the second paragraph of 35 U.S.C. 112, unless the provisional application under paragraph (c) of this section otherwise contains at least one claim as prescribed by the second paragraph of 35 U.S.C. 112."

Attached are photocopies of the following supplemental information relating to the original request for conversion of a provisional application to a non-provisional application:

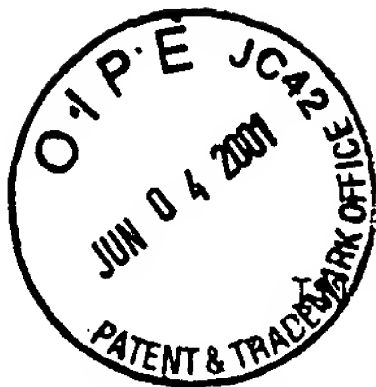
1. REQUEST FOR CONVERSION OF PROVISIONAL TO NON-PROVISIONAL APPLICATION dated March 3, 2001
2. FILING RECEIPT dated 04/19/2001 (with requested changes indicated thereon)
3. TRANSMITTAL form submitted with request under 37 CFR 1.53 (c) dated 03/06/2001
4. FEE TRANSMITTAL dated 03/06/2001

Respectfully submitted,



Thomas L Derry  
Registration No. 46,660  
Caterpillar Inc.

Telephone: (309) 675-1029  
Facsimile: (309) 675-1236  
Enclosures



PATENT APPLICATION

THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of )  
JOSEPH D. KUNZEMAN ET AL. )  
Application No. 60/253.964 )  
Filed: November 29, 2000 )  
For: APPARATUS AND METHOD FOR )  
REDUCING WORK MACHINE NOISE BASED )  
ON LOCATION )  
Attorney Docket No. 00-693L )

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Peoria, Illinois 61629-6490  
March 6, 2001

Assistant Commissioner for Patents  
Washington, D.C. 20231

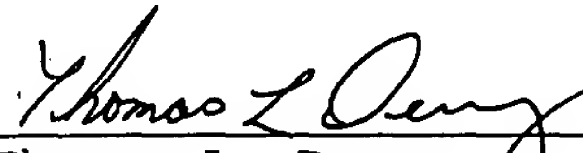
REQUEST FOR CONVERSION OF PROVISIONAL  
TO NON-PROVISIONAL APPLICATION  
(37 C.F.R. § 1.53(c)(3))

Sir:

Please convert the above identified provisional  
application filed to a non-provisional application under 37  
C.F.R. § 1.53(c)(3).

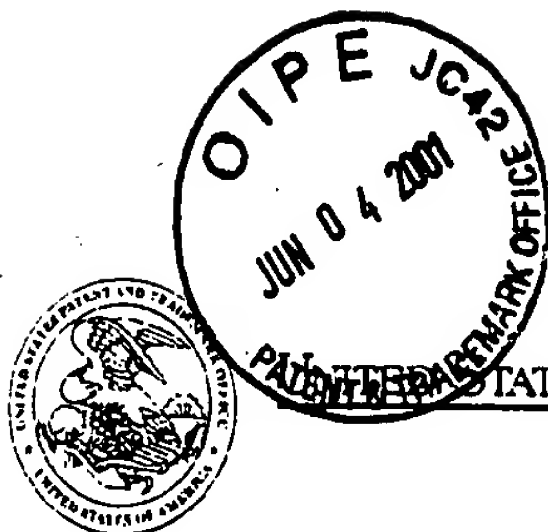
A Declaration executed by the inventor(s) is  
enclosed.

Respectfully submitted,

  
Thomas L. Derry  
Reg. No.: 46,660  
Caterpillar Inc.

Telephone: (309)  
Facsimile: (309) 675-1236  
T:\VLM\00-693CONV.DOC

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3600 MAIL ROOM



UNITED STATES PATENT AND TRADEMARK OFFICE

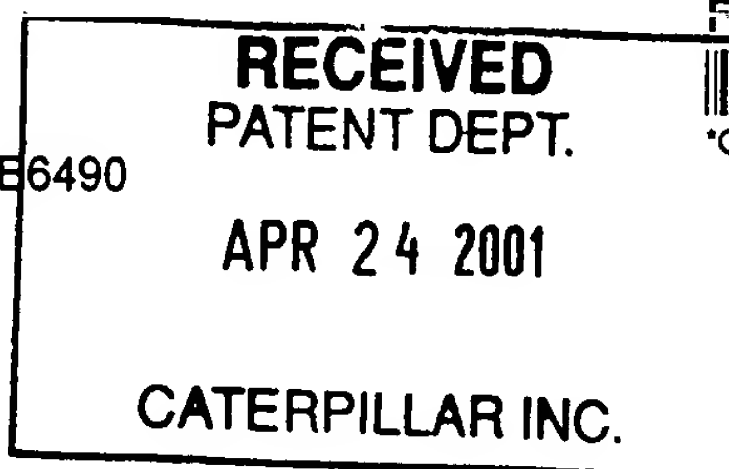
COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/800,284	03/06/2001	3612	710	00-693L	2	16	2

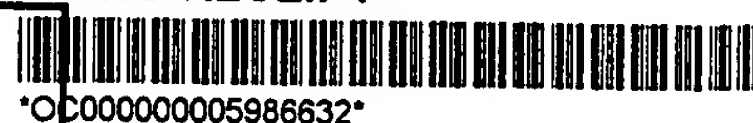
11/29/2000

CONFIRMATION NO. 4655

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FILING RECEIPT



Date Mailed: 04/19/2001

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**Applicant(s)**

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Thomas L. Derry, Edwards, IL;

**Domestic Priority data as claimed by applicant**

THIS APPLN CLAIMS BENEFIT OF 60/253,964 11/29/2000

*THIS APPLICATION IS A  
CONVERSION OF 60/253,964*

**Foreign Applications**

If Required, Foreign Filing License Granted 04/17/2001

Projected Publication Date: 09/12/2002

Non-Publication Request: No

Early Publication Request: No

**Title**

Apparatus and method for reducing work machine noise based on location

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SEP 06 2001  
03600 MAIL ROOM

**Preliminary Class**

298

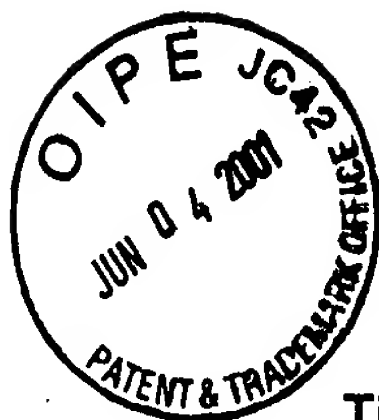
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